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PTO/SB/05 (4/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No.	P3944
First Inventor or Application Identifier	Jaideep Srivastava, et al.
Title	Method and Apparatus for Multifaceted Profiling of Individual Users
Express Mail Label No.	EL573443768US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☒ Specification [Total Pages 19]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
- Oath or Declaration [Total Pages 2]
  - ☒ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
    - ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

- ☐ Microfiche Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Copy
  - ☐ Paper Copy (identical to computer copy)
  - ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☒ \* Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☒ Other: Check for fees

\* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_

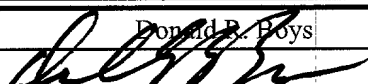
Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Lab.  ☐ Correspondence address below

Name	24739			PATENT TRADEMARK OFFICE	
Address					
City	State	Zip Code			
Country	Telephone	Fax			

Name (Print/Type)	Donald R. Boys	Registration No. (Attorney/Agent)	35074
Signature		Date	09/01/2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

<h2 style="margin: 0;">FEE TRANSMITTAL</h2> <p style="font-size: small; margin: 5px 0;">Note: Effective October 1, 1997. Patent fees are subject to annual revision.</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: left; font-weight: normal;">Complete if Known</th> </tr> <tr> <td style="width: 50%;">Application Number</td> <td>NA</td> </tr> <tr> <td>Filing Date</td> <td>09/01/2000</td> </tr> <tr> <td>First Named Inventor</td> <td>Jaideep Srivastava, et al.</td> </tr> <tr> <td>Group Art Unit</td> <td>NA</td> </tr> <tr> <td>Examiner Name</td> <td>NA</td> </tr> <tr> <td>Attorney Docket Number</td> <td>P3944</td> </tr> </table>	Complete if Known		Application Number	NA	Filing Date	09/01/2000	First Named Inventor	Jaideep Srivastava, et al.	Group Art Unit	NA	Examiner Name	NA	Attorney Docket Number	P3944
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<b>TOTAL AMOUNT OF PAYMENT (\$)</b> 345.00															

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																																																																																				
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number <span style="border: 1px solid black; display: inline-block; width: 150px; height: 1.2em; vertical-align: middle;"></span></p> <p>Deposit Account Name <span style="border: 1px solid black; display: inline-block; width: 150px; height: 1.2em; vertical-align: middle;"></span></p> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17     <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p style="margin-left: 20px;"><input checked="" type="checkbox"/> Check    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other</p>	<h3>3. ADDITIONAL FEES</h3> <table border="1" style="width: 100%; border-collapse: collapse; font-size: x-small;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity (\$)</th> <th>Small Fee Code</th> <th>Entity (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>950</td><td>217</td><td>475</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,510</td><td>218</td><td>755</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>2,060</td><td>228</td><td>1,030</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - 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SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name	Donald R. Boys			Reg. Number	35,074
Signature				Date	09/01/2000
				Deposit Account User ID	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<b>VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS</b> <b>(37 CFR 1.9(f) &amp; 1.27(c))--SMALL BUSINESS CONCERN</b>	Docket Number (Optional) P3944
Applicant or Patentee: <u>Jaideep Srivastava et al.</u> Application or Patent No.: <u>NA</u> Filed or Issued: <u>NA</u> Title: <u>Method and Apparatus for Multifaceted Profiling of Individual Users</u>	
I hereby declare that I am <input type="checkbox"/> the owner of the small business concern identified below: <input checked="" type="checkbox"/> an official of the small business concern empowered to act on behalf of the concern identified below:  NAME OF SMALL BUSINESS CONCERN <u>Yodlee.com, Inc.</u>  ADDRESS OF SMALL BUSINESS CONCERN <u>3600 Bridge Parkway, 2nd Floor, Redwood Shores, CA 94065</u>	
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# Method and Apparatus for Multifaceted Profiling of Individual Users

by inventor(s)

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## Field of the Invention

The present invention is in the field of Internet-based services and applications, and pertains more particularly to methods for obtaining a multifaceted profile of a user, which includes a comprehensive set of data obtained from a broad range of resources under a wide array of user categories.

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## Background of the Invention

The information network known as the world-wide-web (WWW), which is a subset of the well-known Internet, is arguably the most complete source of publicly accessible information available. Anyone with a suitable Internet appliance such as a personal computer with a standard Internet connection may access (go on-line) and navigate to information pages (termed web pages) stored on Internet-connected servers for the purpose of gathering information and initiating transactions with hosts of such servers and pages.

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Often times, in order to improve the quality of services offered by a particular website, it is important to understand user activity in relationship to that site. This is to say that while a user is navigating through a website, obtaining a dynamic profile of the user's habits, activities and personal information would prove beneficial to the overall improvement of a service providing or commercial website. In addition to utilizing user profiles for

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website service-enhancement purposes, companies routinely pay for such information in order to better target users for advertising and marketing purposes.

In a cobrand relationship known to the inventor, cobrand partners contract with a service-providing entity in order to provide Internet services offered by the entity. The cobranded services are made available to subscribers of the cobrand partners through dedicated servers maintained by the service-providing entity. Users who subscribe to such services typically have at least some personal profile information known to the cobrand partners through their normal subscription and interaction activities. In addition, a service-providing entity may track certain information about users who are accessing and interacting with cobranded services maintained by the service-providing entity. For example, information such as types of products purchased, types of web pages accessed at service sites, frequency of buying, time spent at sites, and so on, may be tracked and stored in a secure database by the service-providing entity. This is made possible by the fact that the service-providing entity maintains and provides the services and the equipment through which the services are made available.

There are a variety of known methods for obtaining information about individual users who visit websites online. Some commonly known methods are sending and retrieving interactive cookies, conducting on-line surveys, parsing completed online forms, recording purchase histories, and many other techniques. A typical user profile automatically compiled by a Web company is limited to information that can be obtained from the user while at one of the company-sponsored sites, or through interacting with the user during registration processes. As such, the profile is not complete or well rounded and tends to reflect content related to the nature of business conducted by the Web company. For example, a purchase history compiled

by a Web-based clothing retailer is limited to the subject of clothing. In order to obtain a well-rounded profile of an individual that covers a variety of topics, information typically must be bought, sold, or traded between Web companies doing business on the Internet. It is known in the art that there are many companies in existence that specialize in information brokering.

In the case of cobranding, where the service-providing entity provides proxy navigation and data summary services for users, data about a user's activity related to interaction with cobrand services includes data related to a plurality of disparate Web-sites, which are involved in some aspect of the cobrand services. It has occurred to the inventor that much information may be automatically obtained about users from user interaction and proxy interaction with many Web sites without being required to obtain the data through purchase or trade with companies hosting Web-sites involved in cobranded services. It is to this aspect of profiling users that the methods and apparatus of the present invention applies.

What is clearly needed is a method that empowers a company to automatically collect data about users either directly or indirectly (through proxy services) whereby the collected data reflects user activity, history, and behavior associated with a plurality of disparate Web-sites. Such a method would enable a company to create dynamic user profiles that are multifaceted and therefore more valuable in the marketplace.

### **Summary of the Invention**

5           According to an embodiment of the present invention, a data-collection system for collecting data about a user through monitoring user interaction on a data-packet-network is provided. The system employs a proxy server connected to the data-packet-network for providing proxy services and for monitoring user access and interaction with those services.

10          The system also includes at least one dedicated server interface connected to the data-packet-network for providing user access to the proxy services, and a software application running on the proxy server for collecting and storing data obtained as a result of active user-interaction with the proxy services.

15           In a preferred embodiment of the present invention, the data-collection system of claim 1 uses the Internet network as a medium of data transfer. In this aspect, the proxy server and the dedicated server interface are maintained by a same service-providing entity. The dedicated server interface is, in preferred application, an Internet file server dedicated to providing cobrand services to users of a cobrand partner.

20           The data-collection system operates most efficiently in embodiments wherein the proxy services include a data-collection, aggregation, and summary service. In preferred aspects the system is operated in a network environment wherein there are a plurality of dedicated server interfaces, individual ones of such interfaces dedicated to individual ones of a plurality

25          of participating cobrand partners.

          The software application enabling the system collects demographic data, account-information data, and on-line behavior data. The collected data about a user is used to construct a multifaceted user profile. In a

preferred aspect, the data-collection is performed in an entirely automated fashion. However in another aspect additional data obtained through non-automated method is added to the data collected automatically in order to increase the scope of a multifaceted user profile. In preferred aspects,  
5 assembly of the multifaceted user profile is automated. Also in preferred aspects, the assembled multifaceted user profile is periodically updated in automated fashion.

According to another aspect of the present invention a method for collecting, storing, and utilizing data related to a user interacting with proxy  
10 services on a data-packet-network comprising the steps of (a) monitoring all user activity and transactions associated with interactive use of the proxy services; (b) parsing applicable data resulting from the user activity and transactions; (c) recording the applicable data in a secure an organized fashion; and (d) incorporating the recorded data for the purpose of creating a  
15 multifaceted user profile.

In a preferred embodiment, the data-packet-network enabling the method is the Internet network. In this aspect, user transactions described in step (a) include purchases, site registrations, and orders for summary data. In the same aspect, user activity described in step (a) includes activity at an  
20 interfacing server. In one aspect of the method, applicable data described in step (c) is recorded to a data repository external to the server recording the data. In another aspect of the method, applicable data is recorded to a data repository held within the server recording the data. In both aspects, the data is used to construct multifaceted user profiles.

25 Now for the first time, a system and method is provided for automatically collecting data about users interacting on a data-packet-network with provided interactive services in automated fashion wherein the data may be used to construct valuable multifaceted user profiles without



requiring use of manual and other traditional methods for collecting the data and constructing the profiles.

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### **Brief Description of the Drawing Figures**

Fig. 1 is an overview of a communication network wherein cobrand user-profiling is practiced according to an embodiment of the present invention.

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Fig. 2 is a block-diagram illustrating various data categories and data-gathering methods used to create a multifaceted user-profile according to an embodiment of the present invention.

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### **Description of the Preferred Embodiments**

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Fig. 1 is an overview of a communication network 9 wherein multifaceted user profiling is practiced according to an embodiment of the present invention. Communication network 9 contains all of the equipment and network connections required in order to establish a functional network-communication capability.

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In a preferred embodiment of the present invention, communication network 9 is implemented on the Internet network, which is represented herein by an Internet backbone 11. Internet backbone 11 represents all of the lines, connection points, and equipment that make up the Internet network as a whole. Therefore, there is no geographic limit to the practice of the present invention.

A plurality of cobrand servers (CBS) 23, 25, and 27 are illustrated, in this example, as connected to Internet backbone 11. CBS 23-27 are adapted as Internet file servers dedicated to users of cobrand services provided by a service-providing company, which also maintains the servers. A main server 15, also illustrated as connected to Internet backbone 11, is adapted as a data-aggregation and distribution source and is hosted by the same service provider hosting servers 23-27. Cobrand servers 23-27 are dedicated to cobrand partners and their subscribers whom have elected to access services offered by the service provider, which also hosts server 15.

In addition to data-aggregation and distribution services, server 15 also functions, in this example, as an activity-tracking server tracking on-line activity of cobrand users. Companies providing cobrand services to their subscriber-ship typically specialize in providing search capabilities and limited portal services. The companies hosting CBS 23-27 may be termed cobrand partners of the described service-providing company. The nature of services provided by CBS 23-27 will depend on the nature of agreements forged between various cobrand partners and the service-providing entity. For example, some of CBS 23-27 may allow users to obtain e-mail from various e-mail servers. Likewise, each of CBS 23-27 may provide varying functionalities generally related to data collection, aggregation and summary services. It is sufficient to say that subscribers to cobranded services interface with CBS 23-27 in order to receive such services.

A plurality of content servers (CS) 19 and 21 are adapted as Internet data servers hosted by companies contracted to provide specific content to the service-providing entity, which makes the content available through CBS 23-27. Servers 19 and 21 are illustrated herein as connected to Internet backbone 11.

CS 19 and 21 are dedicated to providing specific Web content such as weather information, stock quotes, financial news, entertainment news, and so on. There are many possibilities as to the nature of the content provided by servers 19 and 21. In some cases content provided by servers 19 and 21 may be inaccessible without subscription or membership. It is noted herein that CS 19 and 21 are not, in this example, hosted by the entity hosting main server 15 and cobrand servers 23-27 rather, they are hosted by companies contracting with the service-providing entity of this example and provide content according to contract stipulation.

A plurality of *Free* (FS) content servers 29 and 31 are illustrated herein as connected to Internet backbone 11. FS 29 and 31 in this example are also adapted as Internet data servers, but in this case are not providing content to CBS 23-27. FS 29-31 are not in any way associated with the entity hosting main server 15, however, in some cases may be accessed through main server 15 by proxy such that accessed content may also be tracked by main server 15. Like CS 19-21, there are many possibilities as to the nature of content provided by FS 29-31, the term "free" is used in this example to convey that the services and/or content provided within FS 29-31 is available to anyone who accesses it.

It will be apparent to one with skill in the art that there may be many more CBS, CS, and FS illustrated in this example without departing from the spirit and scope of the present invention. The inventor illustrates only a few of each class of server in this example and deems the illustration sufficient for explanation of the present invention. It is repeated here that CBS 23-27 are cobrand servers maintained by a service-providing entity also hosting main server 15. CS 19-21 are content servers hosted by companies contracting with the described service-providing entity to make their content

available to CBS 23-27. FS 29-31 are free servers not affiliated in any way with the service-providing entity.

A plurality of cobrand subscribers/users 17 (within dotted rectangle) is illustrated as having Internet connection to Internet backbone 11. Internet connection in this example includes all of the known methods for accessing the Internet network. An internet-service-provider (ISP) is not detailed in this example, but may be assumed to be present in a scenario where users 17 are accessing Internet 11 through normal dial-up modem technology, which is most common. Other methods include wireless modem connection, cable modem connection, and so on.

In this example, users 17 are illustrated as operating personal computers (PC) to access Internet 11. In actual practice, any Internet-capable appliance may be used to practice the present invention as long as it has network-browsing and display capabilities. Each user 17 may freely navigate to and interact with CBS 23-27, FS 29-30, or CS 19-21. However, when users are accessing cobrand services from one of CBS 23-27, at least part of the service enables them to have data obtained from any of CS 19-21 or FS 29-31. For example, if a user 17 is logged into CBS 27 to receive cobrand services, specific data requested by the user such as weather or financial news would be obtained by proxy from CS 19-21 because of contract stipulation. If data is requested from any of FS 29-31, then the requesting user must provide information such as a URL address and type of data required to enable proxy data collection and presentation because there is no affiliation between FS 29-31 and CBS 27.

Main server 15, as previously described, can log the activities of each of users 17 when they are interacting with CBS 23-27. Furthermore, server 15 has the ability to record activity information related to any proxy data request involving any other servers navigated to on behalf of users 17. As a

result, much data specific to a user's activity may be obtained without giving notice to or requesting data from companies hosting servers 19-21 or servers 29-31.

An instance of software (SW) is provided to execute on main server 15. SW at server 15 is adapted to record any user-activity data routed through server 15. Therefore, data obtained through cobrand services offered by CB 23-27 may be logged and identified to particular users, and mined for data to include as profile data. Server 15 may record types of content requested, description and class of items purchased, nature and description of Web-sites targeted for data requests, frequency of same type requests, lists containing URLs and descriptions of user-registered Web sites, and so on. Data about a cobrand user's on-line activity and behavior is compiled and organized within server 15 and then stored as a part of that user's multifaceted profile.

Other information about users may be obtained from companies hosting CBS 23-27. Such information may include personal information related to subscription and registration to receive cobrand services, information obtained through registration and interaction with a cobrand partners regular services routinely accessed by cobrand users, and so on. In this way, much of a multifaceted profile can be automatically generated and stored for cobrand users 17. If a user is a frequent cobrand user and is particularly prolific with on-line activity, then many facets about that user's activity and behavior may be learned and recorded. Profiling a user in this manner greatly reduces the need for trading or purchasing partial profiles compiled by a plurality of un-related sources. However, a multifaceted profile may, of course be enhanced by supplementing the profile with purchased or traded data originating from out-side sources.

Significant market advantages exist for an entity that can obtain a multifaceted profile on each, or at least many of its clients. For example, many user profiles may be mined for more specific data, which may be generated into list-reports detailing preferences and activity traits of many users. Such lists may be created and tailored for advertisement companies or other service providers willing to pay for the information. Thresholds and special rules may also be implemented during profile configuration and maintenance such that profile information may be automatically updated over prolonged user patronage of cobrand services.

Fig. 2 is a block-diagram illustrating various data categories and data gathering methods used to create a multifaceted user-profile according to an embodiment of the present invention. In this example, there are three basic categories of data used to create a dynamic multifaceted profile. These categories are illustrated in this example, by element number 37 (demographic info), element number 39 (account info), and element number 41 (on-line behavior). Element number 43 represents various data-gathering methods, which may be used to obtain data described in the data categories mentioned above.

Every cobrand user is supplied with a cobrand identification (ID) and a member ID. In this way, any data obtained and warehoused from internal or external sources is easily identifiable to a particular user. Profiles may be automatically assembled using this warehoused data according to enterprise rules. It is important to note herein that each data category 37, 39, and 41 may be populated using automatic data-gathering methods (element 43) such as data capture during interactive sessions. Data capture, as is used in this specification, means recording any and all data about a user during an on-line session, which includes any proxy services. Of course, some data may be supplied by purchasing from the outside, trading, or sharing with partners.

These additional options are included under data-gathering methods 43. For the most part however, automated data capture should be sufficient for supplying a viable multifaceted profile in most cases. This is especially true if a user is prolific in his or her patronage of cobranded services.

Referring now to demographic info 37, there is illustrated a plurality of subcategories, which will be discussed from top to bottom. Income level is one important subcategory of demographic information. By knowing a user's income level, advertisements for travel, financial services, and consumables may be more properly tailored for the individual. Location information may also be used to enhance local advertising.

Family relationships are important for understanding lifestyle characteristics, identifying future consumers, and so on. Gender, age, and income levels of family members may also be important in creating a multifaceted profile. Hobbies and other preferences may also be included in data gathered for demographic information. Such data also contributes to understanding lifestyle characteristics and identifying products and services that may fit a user.

Demographic information may be obtained through recording on-line purchase events, registration events, and from general population of on-line forms. Therefore, most demographic information may be obtained through automated data-capturing techniques. In some cases, companies contracting for cobrand service-enhancement with a service-providing entity may simply forward or share some demographic information. Such an arrangement may be, in some embodiments, required as part of contract negotiation. In other cases, especially if certain users are not prolific in on-line activity, demographic information may be purchased from the outside or obtained through trade with outside organizations. Therefore, information that

cannot be obtained through data capture may be obtained through other methods in order to supplement any relatively weak profiles.

Account information 39 is illustrated herein as divided into 4 basic subcategories. These subcategories are listed from top to bottom as entertainment, business, financial, and investment. Each category may be further divided into more subcategories as deemed appropriate. Account information represents data obtained from on-line accounts belonging to a particular user. A user may subscribe to many of these accounts and may add them to cobrand service sites for the purpose of being able to access information from such accounts without physically navigating to them. As proxy services are performed on behalf of a user concerning a user's registered accounts, data used in accessing the accounts and data returned as a result of task performance is collected and incorporated as profile data.

As data is automatically compiled about a user over time, the user's profile becomes more and more valuable and accurate. After a period of time, the service-providing entity maintaining the cobrand services and the user's profile may generate automated reports detailing certain aspects of the user's profile for selective distribution to paying clients. Secure information such as credit card numbers, Social Security numbers, personal identification numbers, passwords, and the like remain in a state of data encryption, or otherwise deleted from data reports containing profile information.

On-line behavior is compiled using user-activity and server-activity data. Such raw data is collected and analyzed in order to compile an on-line behavior profile. Subcategories of user activity that may constitute on-line behavior illustrated within block 41 are listed in discussed from top to bottom.

Identification of Web sites visited either directly or through proxy services maybe automatically captured. Types of products purchased from



those sites may also be automatically captured as well as frequency parameters associated with purchases illustrated herein as a subcategory of products purchased. Frequency of purchases may simply mean how often a purchase is made over a number of visited sites. The frequency of purchases  
5 may also mean the frequency of purchase of one particular product.

Time accessing cobrand services may also be included and incorporated in forming an on-line behavior profile. Parameters surrounding banner-ad or sponsor clicking may be incorporated in order to determine certain preferences. Finally, on-line histories may be created and maintained  
10 on virtually any category or subcategory associated with blocks 39 and 41.

In a preferred embodiment of the present invention, most if not all of the data compiled about a user is collected using automated data capturing techniques implemented during the normal course of the user accessing cobrand services. The very nature of such services enables many of these  
15 data capturing techniques to be utilized.

It will be apparent to one with skill in the art that there may be more categories and subcategories included in this example without departing from the spirit and scope of the present invention. The inventor as outlined basic categories and basic subcategories and deems them sufficient for  
20 illustrative purposes. Therefore, the inclusion of such subcategories and categories in this example should not be construed as a limitation in any way.

It will also be apparent to one with skill in the art, that the unique cobrand architecture implemented between the service-providing entity of Fig. 1 represented by a server 15 and the plurality of cobrand partners  
25 utilizing CBS 23-27, which are maintained by the same entity, enables multifaceted profiling of users to be accomplished in automated fashion. Therefore, much manual labor and research is eliminated from the data profiling process.

The method of the present invention may be practiced on any DPN that supports the appropriate Internet protocols. Furthermore, there's no limit to the number of cobrand partners, or end-users that may participate in the practice the present invention. Therefore, the method of the present invention should be afforded the broadest possible scope under examination. The spirit and scope of the present invention is limited only by the claims that follow.

[illegible]

What is claimed is:

- 5        1. A data-collection system for collecting data about a user through monitoring user interaction on a data-packet-network comprising:
- a proxy server connected to the data-packet-network for providing proxy services and for monitoring user access and interaction with those services;
- 10        a dedicated server interface connected to the data-packet-network for providing user access to the proxy services; and
- a software application running on the proxy server for collecting and storing data obtained as a result of active user-interaction with the proxy services.
- 15        2. The data-collection system of claim 1, wherein the data-packet-network is the Internet network.
3. The data-collection system of claim 2, wherein the proxy server and a
- 20        dedicated server interface are maintained by a same service-providing entity.
4. The data-collection system of claim 3, wherein the dedicated server interface is dedicated to providing cobrand services to users of a cobrand partner.
- 25        5. The data-collection system of claim 4, wherein the proxy services includes a data-collection, aggregation, and summary service.

6. The data-collection system of claim 5, wherein there are a plurality of dedicated server interfaces, individual ones of such interfaces dedicated to individual ones of a plurality of participating cobrand partners.

5        7. The data-collection system of claim 6, wherein the software application  
collects demographic data, account-information data, and on-line behavior  
data.

8. The data-collection system of 7, wherein the collected data about a user  
10 is used to construct a multifaceted user profile.

9. The data-collection system of claim 8, wherein the data-collection is performed in an entirely automated fashion.

15 10. The data-collection system of claim 9, wherein additional data obtained through non-automated method is added to the data collected automatically in order to increase the scope of a multifaceted user profile.

11. The data-collection system of claim 10, wherein assembly of the  
20 multifaceted user profile is automated.

12. The data-collection system of claim 11, wherein the assembled multifaceted user profile is periodically updated in automated fashion.

25        13. A method for collecting, storing, and utilizing data related to a user  
interacting with proxy services on a data-packet-network comprising the  
steps of:

(a) monitoring all user activity and transactions associated with interactive use of the proxy services;

(b) parsing applicable data resulting from the user activity and transactions;

5 (c) recording the applicable data in a secure an organized fashion; and

(d) incorporating the recorded data for the purpose of creating a multifaceted user profile.

10 14. The method of claim 13, wherein the data-packet-network is the Internet network.

15 15. The method of claim 14 wherein in step (a), transactions include purchases, site registrations, and orders for summary data.

16. The method of claim 15 wherein in step (a), user activity includes activity at an interfacing server.

20 17. The method of claim 16 wherein in step (c), applicable data is recorded to a data repository external to the server recording the data.

25 18. The method of claim 17 wherein in step (c), applicable data is recorded to a data repository held within the server recording the data.

A data-collection system for collecting data about a user through monitoring user interaction on a data-packet-network is provided. The data-collection system includes a proxy server connected to the data-packet-network for providing proxy services and for monitoring user access and interaction with those services, a dedicated server interface connected to the data-packet-network for providing user access to the proxy services, and a software application running on the proxy server for collecting and storing data obtained as a result of active user-interaction with the proxy services. In preferred embodiments of the invention, the data is collected in an automated fashion and is used for the construction of multifaceted user profiles, which may be periodically update in an automated fashion as a result of continued user interaction with provided proxy services through the dedicated server interface.



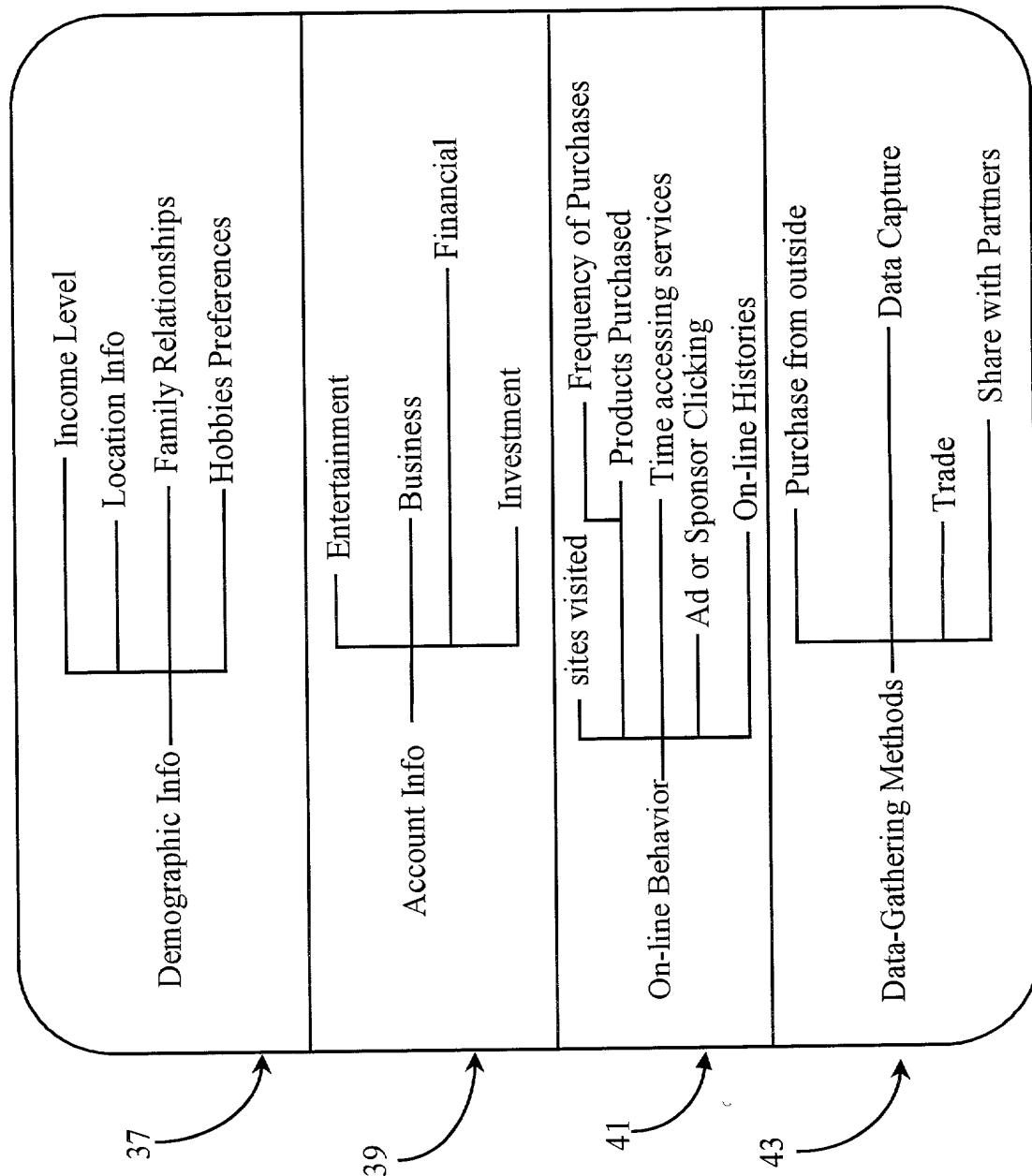


Fig. 2



# DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

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As a below named inventor, I hereby declare that: My residence, post office address and citizenship are as stated below next to my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **Method and Apparatus for Multifaceted Profiling of Individual Users**

the specification of which (check one) ☒ is attached hereto.  
☐ was filed on:  
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☐ and was amended on  
(If applicable)

I hereby state that I have reviewed and understood the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, s 1.56 (a). In the case that the present application is a continuation-in-part application, I further acknowledge the duty to disclose material information as defined in 37 CFR s 1.56(a) which became available between the filing date of the prior application and the filing date of the present application. I hereby claim foreign priority benefits under Title 35, United States Code s119 of any foreign applications for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

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I hereby claim the benefit under Title 35, United States Codes, 120 and 119 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, s112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, s156(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

(Application Serial No.): \_\_\_\_\_ (Filing Date): \_\_\_\_\_ (Status): \_\_\_\_\_  
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POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.  
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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Full name of 2nd joint inventor, if any: Priyank Srivastava

2nd inventor's signature: \_\_\_\_\_ Dated: \_\_\_\_\_  
Residence: 1200 E. Hillsdale Blvd., #111, Foster City, CA., 94404 Citizenship: Indian  
Post Office Address: Same

Full name of 3rd joint inventor, if any:

3rd inventor's signature: \_\_\_\_\_ Dated: \_\_\_\_\_  
Residence: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
Post Office Address: \_\_\_\_\_

Full name of 4th joint inventor, if any:

4th inventor's signature: \_\_\_\_\_ Dated: \_\_\_\_\_  
Residence: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
Post Office Address: \_\_\_\_\_

Full name of 5th joint inventor if any:

5th inventor's signature: \_\_\_\_\_ Dated: \_\_\_\_\_  
Residence: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
Post Office Address: \_\_\_\_\_

Full name of 6th joint inventor, if any:

6th inventor's signature: \_\_\_\_\_ Dated: \_\_\_\_\_  
Residence: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
Post Office Address: \_\_\_\_\_

Full name of 7th joint inventor, if any:

7th inventor's signature: \_\_\_\_\_ Dated: \_\_\_\_\_  
Residence: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
Post Office Address: \_\_\_\_\_

Full name of 8th joint inventor, if any:

8th inventor's signature: \_\_\_\_\_ Dated: \_\_\_\_\_  
Residence: \_\_\_\_\_ Citizenship: \_\_\_\_\_  
Post Office Address: \_\_\_\_\_

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